

# PATENT COOPERATION TREATY

From the RECEIVING OFFICE

# PCT

To:  
DAVID A. CARPENTER  
GENENTECH, INC.  
1 DNA WAY  
SOUTH SAN FRANCISCO, CALIFORNIA  
94080-4990

## NOTIFICATION CONCERNING PAYMENT OF PRESCRIBED FEES

(PCT Rules 14, 15 and 16 and Administrative  
Instructions, Sections 102bis(c), 304(a) and (b),  
323(b), 707(b) and 803)

Applicant's or agent's file reference <b>P1995R1</b>		Date of mailing (day/month/year) <b>27 JAN 2004</b>
International application No. <b>PCT/US03/35268</b>		PAYMENT DUE see item 3 for time limits
International filing date/Date of receipt (day/month/year)	Priority date (day/month/year)	
<b>06 Nov 2003</b>	<b>08 Nov 2002</b>	
Applicant <b>GENENTECH, INC.</b>		

1. The applicant is hereby notified that this receiving Office has received:

- ☒ the payment of all the prescribed fees, and ☐ an overpayment, which will be refunded in due course.  
☐ no or insufficient payment of the prescribed fees and the applicant is hereby invited to pay the balance due, as summarized under item 2, within the time limit(s) indicated under item 3.

2. Fees and payment calculation:

22,292.00	-	22,292.00	=	0.00
Total fees payable		Amount paid		Balance

- ☒ The details of the calculation are given in the Annex.

3. Time limit(s) for payment and amount(s) payable (Rules 14.1, 15.4 and 16.1(f)):

- ☐ within ONE MONTH from the date of receipt of the international application (for the transmittal fee (if any), the search fee, the basic fee and the designation fee). The amount payable for each fee is the amount applicable on the date of receipt of the international application.
- ☐ within ONE YEAR from the priority date (only for the designation fee and only if this time limit expires later than the above time limit).  
— If the designation fee is paid within one month from the date of receipt of the international application, the amount payable is the amount applicable on that date of receipt.  
— If the designation fee is paid within one year from the priority date but later than one month from the date of receipt of the international application, the amount payable is the amount applicable on the date of payment. The receiving Office should be consulted for the applicable amount.
- ☐ within 16 MONTHS from the priority date (only for the fee for priority document). The applicant's attention is drawn to the fact that the request made by the applicant under Rule 17.1(b) will be considered not to have been made unless the fee is paid within that time limit.

4. Additional observations (if necessary):

- ☐ The search copy will not be transmitted to the International Searching Authority until the search fee is paid (therefore the start of the international search will be delayed) (Rule 23.1(a) and (b)).

Name and mailing address of the receiving Office  
Mail Stop PCT, Commissioner for Patents  
P.O. Box 1450, Alexandria, VA 22313-1450  
Facsimile No. 703-305-3230

Authorized officer  
**Yolanda Harrod**  
Telephone No. 703-305-3670

**ANNEX TO FORM PCT/RO/102  
CALCULATION OF THE PRESCRIBED FEES**

International application No.  
PCT/US03/35268

**T Transmittal Fee**

Prescribed amount: . . . . . 240.00 **T**  
 Amount paid: . . . . . 240.00  
 Balance: . . . . . 0.00

☒ correct amount  
☐ overpayment  
☐ balance due

**S Search Fee**

Prescribed amount: . . . . . 700.00 **S**  
 Amount paid: . . . . . 700.00  
 Balance: . . . . . 0.00

☒ correct amount  
☐ overpayment  
☐ balance due

**I International Fee**

**B Basic Fee**

Fixed amount for first 30 sheets: . . . . . 328.00 **b1**

1707 x 12.00 = 20,484.00 **b2**

Number of sheets  
in excess of 30 Fee per sheet

Additional component: . . . 400 x 0.00 = 0.00 **b3**

Fee per sheet

Prescribed amount (b1 + b2 + b3) = 20,812.00 **B**

**D Designation Fee**

Amount of designation fee: . . . . . 104.00

Number of designation fees payable (maximum 5): . . . . . 5

Prescribed amount = 520.00 **D**

**R** Reduction where PCT-EASY software is used or where the international application is filed in electronic form (See the PCT Applicant's Guide, Volume I, General Part, for details on the availability of this reduction): . . . . .

0 **R**

Sub-total (B+D-R): . . . . . 21,332.00 **B+D-R**

Prescribed total amount (The amount to be entered at I is the sub-total entered at (B+D-R), except where the applicant is (or all applicants are) entitled to a reduction of 75%, in which case the amount to be entered at I is 25% of the sub-total (B+D-R); certain applicants from certain States are entitled to a reduction of 75% of the international fee; see Notes to the Fee Calculation Sheet as annexed to the Request Form, PCT/RO/101, for details): . . . . .

21,332.00 **I**

Amount paid: . . . . . 21,332.00  
 Balance: . . . . . 0.00

☒ correct amount  
☐ overpayment  
☐ balance due

**P Fee for priority document**

Prescribed amount: . . . . . 20.00 **P**  
 Amount paid: . . . . . 20.00  
 Balance: . . . . . 0.00

☒ correct amount  
☐ overpayment  
☐ balance due

Additional observations (if necessary):

- ☐ The amount paid for the designation fee covers the following designations: \_\_\_\_\_  
☐ Other (specify): \_\_\_\_\_

# PATENT COOPERATION TREATY

From the RECEIVING OFFICE

## PCT

To:  
DAVID A. CARPENTER  
GENENTECH, INC.  
1 DNA WAY  
SOUTH SAN FRANCISCO, CALIFORNIA  
94080-4990

NOTIFICATION OF THE INTERNATIONAL  
APPLICATION NUMBER AND OF THE  
INTERNATIONAL FILING DATE

(PCT Rule 20.5(c))

Date of mailing (day/month/year)	27 JAN 2004
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Applicant's or agent's file reference P1995R1	<b>IMPORTANT NOTIFICATION</b>
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International application No. PCT/US03/35268	International filing date (day/month/year) 06 Nov 2003	Priority date (day/month/year) 08 Nov 2002
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Applicant GENENTECH, INC.	
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Title of the invention COMPOSITIONS AND METHODS FOR THE TREATMENT OF NATURAL KILLER CELL RELATED DISEASES	
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1. The applicant is hereby notified that the international application has been accorded the international application number and the international filing date indicated above.

2. The applicant is further notified that the record copy of the international application:

- 27 JAN 2004
- ☒ was transmitted to the International Bureau on \_\_\_\_\_
- ☐ has not yet been transmitted to the International Bureau for the reason indicated below and a copy of this notification has been sent to the International Bureau\*:
- ☐ because the necessary national security clearance has not yet been obtained.
- ☐ because (reason to be specified): \_\_\_\_\_

\* The International Bureau monitors the transmittal of the record copy by the receiving Office and will notify the applicant (with Form PCT/IB/301) of its receipt. Should the record copy not have been received by the expiration of 14 months from the priority date, the International Bureau will notify the applicant (Rule 22.1(c)).

3. FOREIGN TRANSMITTAL LICENSE INFORMATION

Completed by: YH

- ☐ Additional license for foreign transmittal not required. This subject matter is covered by a license already granted or the equivalent U.S. national application. Refer to that license for information concerning its scope.
- ☐ License for foreign transmittal not required. 37 CFR 5.11(e)(1) or 37 CFR 5.11(e)(2). However, a license may be required for additional subject matter. See 37 CFR 5.15(b).
- ☒ Foreign transmittal license granted. 35 U.S.C. 184; 37 CFR 5.11 on 22 Jan 2004 (date)
- ☐ 37 CFR 5.15(a) ☒ 37 CFR 5.15(b)

Name and mailing address of the receiving Office Mail Stop PCT, Commissioner for Patents P.O. Box 1450, Alexandria, VA 22313-1450 Facsimile No. 703-305-3230	Authorized officer Yolanda Harrod Telephone No. 703-305-3670
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Form PCT/RO/105 (July 1992)

# PATENT COOPERATION TREATY

From the RECEIVING OFFICE

## PCT

INVITATION TO CORRECT DEFECTS IN  
THE INTERNATIONAL APPLICATION

(PCT Articles 3(4)(i) and 14(1) and Rule 26)

To:

DAVID A. CARPENTER  
GENENTECH, INC.  
1 DNA WAY  
SOUTH SAN FRANCISCO, CALIFORNIA  
94080-4990

Date of mailing  
(day/month/year)

27 JAN 2004

Applicant's or agent's file reference

P1995R1

REPLY DUE

within 1 months/days from  
the above date of mailing

International application No.

PCT/US03/35268

International filing date  
(day/month/year)

06 Nov 2003

Applicant

GENENTECH, INC.

1. ☒ The applicant is hereby invited, within the time limit indicated above, to correct, in the international application as filed, the defects specified on the attached:

☒ Annex A

☐ Annex B1 (text matter of the international application as filed)

☐ Annex C1 (drawings of the international application as filed)

2. ☐ The applicant is hereby invited, within the time limit indicated above, to correct, in the translation of the international application furnished under Rule 12.3 or 12.4, the defects specified on the attached:

☐ Annex A

☐ Annex B2 (text matter of the translation of the international application)

☐ Annex C2 (drawings of the translation of the international application)

Additional observations (if necessary):

### HOW TO CORRECT THE DEFECTS?

Correction must be submitted by filing a replacement sheet embodying the correction and a letter accompanying the replacement sheet, which shall draw attention to the difference between the replaced sheet and the replacement sheet. A correction may be stated in a letter only if it is of such a nature that it can be transferred from the letter to the record copy without adversely affecting the clarity and direct reproducibility of the sheet onto which the correction is to be transferred (Rule 26.4).

### ATTENTION

Failure to correct the defects will result in the international application being considered withdrawn by this receiving Office (see Rule 26.5 for further details).

A copy of this invitation and any attachments has been sent to the International Bureau

☒ and the International Searching Authority

Name and mailing address of the receiving Office

Mail Stop PCT, Commissioner for Patents  
P.O. Box 1450, Alexandria, VA 22313-1450  
Facsimile No. 703-305-3230

Authorized officer

Yolanda Harrod

Telephone No. 703-305-3670



## ANNEX A TO FORM PCT/RO/106

International application No.

PCT/US03/35268

The receiving Office has found the following defects in the international application as filed:

1. As to signature\* of the international application (Rules 4.15 and 90.4), the request:
- a. ☐ is not signed
  - b. ☐ is not signed by all the applicants
  - c. ☐ is not accompanied by the statement referred to in the check list in Box No. VIII of the request explaining the lack of the signature of an applicant for the designation of the United States of America
  - d. ☒ is signed by what appears to be an agent/common representative but:
    - ☒ the international application is not accompanied by a power of attorney appointing him
    - ☐ the power of attorney accompanying the international application was not signed by all the applicants
  - e. ☐ other (specify):

\* All applicants must sign, including inventors if they are also applicants (e.g. where the United States of America is designated).

2. As to indications concerning the applicant, the request (Rules 4.4 and 4.5):

- a. ☐ does not properly indicate the applicant's name (specify):
- b. ☐ does not indicate the applicant's address
- c. ☐ does not properly indicate the applicant's address (specify):
- d. ☐ does not indicate the applicant's nationality
- e. ☐ does not indicate the applicant's residence
- f. ☐ other (specify):

3. As to the language of certain elements of the international application, other than the description and claims (Rules 12.1(c) and 26.3ter(a) and (c)):

- a. ☐ the request is not in a language of publication accepted by this receiving Office; (the) language(s) accepted by this receiving Office is/are:
- b. ☐ the text matter of the drawings is not in the language in which the international application is to be published, which is:
- c. ☐ the abstract is not in the language in which the international application is to be published, which is:

4. The title of the invention:

- a. ☐ is not indicated in Box No. I of the request (Rule 4.1(a))
- b. ☐ is not indicated at the top of the first sheet of the description (Rule 5.1(a))
- c. ☐ as appearing in Box No. I of the request is not identical with the title heading the description (Rule 5.1(a))

5. As to the abstract (Rule 8):

- ☐ the international application does not contain an abstract

# PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

## PCT

NOTIFICATION OF RECEIPT  
OF SEARCH COPY

(PCT Rule 25.1)

To:

DAVID A. CARPENTER  
GENENTECH, INC.  
1 DNA WAY  
SOUTH SAN FRANCISCO, CALIFORNIA  
94080-4990

Date of mailing  
(day/month/year)

27 JAN 2004

Applicant's or agent's file reference  
P1995R1

IMPORTANT NOTIFICATION

International application No.  
PCT/US03/35268

International filing date (day/month/year)  
06 Nov 2003

Priority date (day/month/year)  
08 Nov 2002

Applicant

GENENTECH, INC.

**1. Where the International Searching Authority and the receiving Office are not the same Office:**

The applicant is hereby notified that the search copy of the international application was received by this International Searching Authority on the date indicated below.

**Where the International Searching Authority and the receiving Office are the same Office:**

The applicant is hereby notified that the search copy of the international application was received on the date indicated below.

27 JAN 2004

(date of receipt)

2. ☐ The search copy was accompanied by a nucleotide and/or amino acid sequence listing in computer readable form.

**3. Time limit for establishment of international search report**

The applicant is informed that the time limit for establishing the international search report is 3 months from the date of receipt indicated above or 9 months from the priority date, whichever time limit expires later.

4. A copy of this notification has been sent to the International Bureau and, where the first sentence of paragraph 1 applies, to the receiving Office.

Name and mailing address of the ISA/  
Mail Stop PCT, Commissioner for Patents  
P.O. Box 1450, Alexandria, VA 22313-1450  
Facsimile No. 703-305-3230

Authorized officer  
Yolanda Harrod

Telephone No. 703-305-3470

Form PCT/ISA/202 (July 1998)

<b>TO:</b> DAVID A. CARPENTER GENENTECH, INC. 1 DNA WAY SC/JTH SAN FRANCISCO, CALIFORNIA 94080-4990	<b>UNITED STATES DESIGNATED/ELECTED OFFICE</b> <b>(DO/EO/US)</b>  <b>NOTIFICATION OF STATUS OF</b> <b>REQUIREMENTS UNDER 35 U.S.C. 371</b>						
<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;">DATE OF MAILING <i>(day/month/year)</i></td> <td style="width: 50%; border: none; text-align: center;">27 JAN 2004</td> </tr> <tr> <td colspan="2" style="border: none;">FILE REFERENCE</td> </tr> <tr> <td colspan="2" style="border: none; text-align: center;">P1995R1</td> </tr> </table>		DATE OF MAILING <i>(day/month/year)</i>	27 JAN 2004	FILE REFERENCE		P1995R1	
DATE OF MAILING <i>(day/month/year)</i>	27 JAN 2004						
FILE REFERENCE							
P1995R1							
<b>IDENTIFICATION OF INTERNATIONAL APPLICATION</b>							
International application No.  PCT/US03/35268	International filing date <i>(day/month/year)</i> 06 Nov 2003	Priority Date Claimed  08 Nov 2002					
Applicant for DO/EO/US  FONG, SHERMAN							
<b>NOTIFICATION</b>							
The applicant is hereby advised that the U.S. Patent and Trademark Office in its capacity as <input checked="" type="checkbox"/> Designated Office <input type="checkbox"/> Elected Office has received following items as of the date of mailing indicated above.							
1. <input type="checkbox"/> U.S. Nation fee [35 U.S.C 371 (c) (1)] 2. <input type="checkbox"/> Oath of declaration [35 U.S.C 371 (e) (4)] 3. <input checked="" type="checkbox"/> Copy of International application as [35 U.S.C 371 (e) (2)] 4. <input type="checkbox"/> Translation of Application [35 U.S.C 371 (e) (2)] 5. <input type="checkbox"/> Amendments under PCT Article 19 [35 U.S.C 371 (e) (3)] 6. <input type="checkbox"/> Translation of PCT Article 19 Amendments [35 U.S.C 371 (e) (3)] 7. <input type="checkbox"/> Search Report or Declaration under PCT Article 17(2) [35 U.S.C 371 (a)] 8. <input type="checkbox"/> International Preliminary Examination Report and its Annexes, if any, under PCT Article 36(3)(b) [35 U.S.C 371 (a)] 9. <input type="checkbox"/> Translation of Annex to the International Preliminary Examination Report under PCT Article 36(3)(b) [35 U.S.C 371 (e) (5)] 10. <input type="checkbox"/> Other items received:							
<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> Assignment Document           <input type="checkbox"/> Prior Art Statement           <input type="checkbox"/> Preliminary Amendment         </div>							
A. <input type="checkbox"/> Requirements for U.S. National processing have been met. Processing will commence							
<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> at the expiration of the applicable time limit under either           <div style="margin-left: 20px;"> <input type="checkbox"/> PCT Article 22 [35 U.S.C 371 (b)] or  <input type="checkbox"/> PCT Article 39 [35 U.S.C 371 (b)]           </div> </div>							
<input type="checkbox"/> on the date indicated below under the provisions of 35 U.S.C 371 (f)							
_____ U.S. NATIONAL SERIAL#	_____ DATE UNDER 35 U.S.C. 102(c)	_____ DATE OF COMMENCEMENT OF NATIONAL PROCESSING					
<i>All correspondence submitted after the date of commencement of U.S. National processing indicated above should refer to the U.S. National Serial Number and the appropriate U.S. National processing organization of Officer.</i>							
B. <input type="checkbox"/> As the above identified application has been accepted for U.S. National processing under the provision of 35 U.S.C. 371 (f) before expiration of the applicable time limit under <input type="checkbox"/> PCT Article 22 <input type="checkbox"/> PCT Article 39, applicant is reminded that							
<div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> Amendments under PCT Article 19 and/or           <div style="margin-left: 20px;"> <input type="checkbox"/> the International Preliminary Examination Report and its Annexes, if any, under PCT Article 36(3) (a), and (b) and any translation thereof, if applicable, must be submitted to the Patent and Trademark Office as soon as they are available.           </div> </div>							

<b>International application No.</b> PCT/US03/35268	<b>International filing date</b> 06 Nov 2003	<b>Priority Date Claimed</b> 08 Nov 2002
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C. ☒ In order that U.S. National processing may begin, certain items must be received by the DO/EO/US by the expiration of applicable time limit under

☒ PCT Article 22 or

☒ PCT Article 39.

Specifically:

- ☒ 1. U.S. National Fee
- ☒ 2. Oath or Declaration
- ☐ 3. Copy of Application
- ☐ 4. Translation of application
- ☒ 5. Amendments under PCT Article 19, if any
- ☐ 6. Translation of PCT Article 19 Amendments, if applicable
- ☐ 7. Search Report or PCT Article 17(2) declaration
- ☐ 8. International Preliminary Examination Report and its Annexes, if any, under PCT Article 36(3)(a), if applicable
- ☐ 9. Translation of Annexes to the International Preliminary Examination Report under PCT Article 36(3)(b), if applicable

**THE ABOVE CHECK ITEMS MUST BE TIMELY RECEIVED TO AVOID ABANDONMENT OF THE APPLICATION.**  
[35. U.S.C. 371(d)]

D. Further information for the applicant:

**This is only a reminder.**

**UNITED STATES DESIGNATED/ELECTED OFFICE**

Address Only:  
Mail Stop PCT, Commissioner for Patents  
P.O. Box 1450, Alexandria, VA 22313-1450

Authorized Officer  
Yolanda Harrod  
703-305-3670